

REMARKS

In response to the Office Action mailed June 19, 2009, Applicant respectfully requests reconsideration. To further the prosecution of this application, amendments have been made in the claims, and each of the rejections set forth in the Office Action has been carefully considered and is addressed below. The claims as presented are believed to be in condition for allowance.

Claims 18, 20-29, 35, 37-46, 52-54, 61-64, 66-67, 69, 73 and 75 were previously pending in this application. Claims 18, 35, 52, 53 and 54 are amended herein. No claims are added or canceled. As a result, claims 18, 20-29, 35, 37-46, 52-54, 61-64, 66-67, 69, 73 and 75 remain pending for examination, with claims 18, 35, 52, 53 and 54 being independent. No new matter has been added.

Claim Rejections Under 35 U.S.C. §103

Each of independent claims 18, 35, 52, 53 and 54 is rejected under 35 U.S.C. §103(a) as purportedly being obvious over U.S. Patent No. 6,122,635 to Burakoff et al. ("Burakoff") in view of U.S. Patent Publication No. 2002/0107847 to Johnson ("Johnson"). As presented herein, each of independent claims 18, 35, 52, 53 and 54 patentably distinguishes over any combination of the asserted references.

A. Brief Overview Of Embodiments Of The Invention

Embodiments of the invention relate generally to providing access to a source location at which a particular data element resides within an item of compliance information. In this respect, Applicant's specification discloses that "compliance information" is information about a particular security that a securities exchange (e.g., the U.S. Securities and Exchange Commission, or SEC) and/or a regulatory agency require that securities issuers make available to investors and potential investors in that security. A common example of an item of compliance information is a prospectus document for a mutual fund, although other examples include statements of additional information ("SAIs"), supplements to SAIs, annual reports, semi-annual reports, some sales and marketing

information, supplements to prospectuses (“stickers”), etc. Some data elements that may be included within an item of compliance information may include, for example, a security’s investment objective, the returns it earned in previous years, fees associated with investing, a mutual fund’s manager, etc.

The Office Action cites Burakoff, which is commonly assigned with the present application, in rejecting each independent claim. Burakoff discloses a solution to a problem that is very different than that which is addressed by the claimed embodiments. Specifically, Burakoff discloses a system for identifying items of compliance information from among the myriad securities documents filed with repositories such as the Electronic Data Gathering, Analysis and Retrieval (EDGAR) system maintained by the SEC. In this respect, items of compliance information like prospectus documents are commonly buried within larger securities filings, which may include other information, such as other types of compliance information for other securities. The Burakoff system receives securities filings (e.g., retrieved from EDGAR and/or other repositories) as input, catalogs them, determines the start and end points of items of compliance information included within each filing, and determines the effective date of each item of compliance information. The system produces output in the form of a file containing one or more identified items of compliance information.

The claimed embodiments support a very different objective. Specifically, the claimed embodiments provide a user viewing a representation of data relating to a security with the ability to access a source location, within an item of compliance information, at which the data originally appeared. For example, a user looking at information relating to a security on a web page may access the portion of the item of compliance information in which a data element relating to that information originally appeared. Using this capability, a user may, for example, verify the accuracy of the information, get additional detail on the information, etc. (p. 2, lines 18-22). As an example, a user viewing a web page showing data on fees charged by a mutual fund may wish to access the section of the fund’s prospectus document originally filed to EDGAR in which the fee structure was explained in detail, so that the user can determine whether certain fee discounts may apply to them, etc. (p. 2, lines 22-25).

Embodiments of the invention provide this and other useful capabilities. For example, some embodiments provide a technique whereby a source location is identified in an item of compliance information at which a particular data element is located. The identification of the source location employs one or more parameters relating to the particular data element's appearance within the item of compliance information. Once the source location is identified, an indication of the source location is stored. A user viewing a representation of the particular data element in a data structure other than the item of compliance information may issue a request to access the data element at the source location, and the stored indication of the source location may be used to retrieve it.

The foregoing summary is provided to assist the Examiner in appreciating some aspects of the invention. However, this summary does not necessarily apply to each independent claim, and the language of each independent claim may differ in material respects from the examples described above. Thus, Applicant respectfully requests that the Examiner give careful consideration to the language of each independent claim and to address each on its own merits, without relying on the summary above. In this respect, Applicant does not rely upon the foregoing to distinguish any claim over the prior art, but rather relies only upon the language of the claims and the remarks below.

B. Independent Claims 18, 35 and 52-54

Each of independent claims 18, 35, 52, 53 and 54 is amended to further highlight the distinctions over the asserted combination. As amended, each of claims 18, 35, 52, 53 and 54 includes limitations directed to identifying, within an item of compliance information *delimited by a start point and an end point*, a source location *that excludes the start point and the end point* and that contains a particular data element. The identification of the source location employs at least one parameter relating to the data element's appearance within the item of compliance information. An indication of the source location within the item of compliance information is stored.

Each of claims 18, 35, 52, 53 and 54 patentably distinguishes over any combination of the asserted references, as neither Burakoff nor Johnson says anything at all about identifying, within an item of compliance information delimited by a start point and an end point, a source location that

excludes the start point and the end point and that contains a particular data element. As a result, the asserted references necessarily fail to disclose or suggest storing an indication of the source location so identified.

Although the Office Action is somewhat unclear as to how the limitations recited by the previously pending claims directed to identifying a source location are believed to be satisfied, it appears to draw a parallel between a source location containing a particular data element and a security (“[n]ote that the security serves as the source location because it is the place/document where the compliance information was identified using start and end tags (see col. 6, lines 23-29)”); Office Action, p.3). While Applicant respectfully points out that Burakoff says nothing about either a security, or an identifier thereof, having any role in any identification of a start or end point of an item of compliance information (the cited passage merely discloses that a splitting subsystem taught by Burakoff determines the start and end points of an item of securities information), each independent claim is amended to further highlight the manner in which the claimed embodiments distinguish over Burakoff. Specifically, each of claims 18, 35, 52, 53 and 54 is amended to recite identifying a source location in which a particular data element resides *which excludes the start and end point of the item of compliance information*. As the Burakoff system is exclusively directed to identifying an entire item of compliance information within a securities filing using the item’s start and end points, Burakoff says nothing about identifying any source location that excludes the start and end points of an item of compliance information, let alone a source location in which a particular data element resides. Burakoff also says nothing about employing one or more parameters relating to the data element’s appearance (as each independent claim requires) to identify any source location in which the data element resides.

Each independent claim also includes limitations directed to storing an indication of the source location so identified. Burakoff fails to satisfy this limitation. Although Burakoff discloses indexing items of compliance information by associated security (col. 10, lines 10-28), so that users may retrieve compliance information for a particular security from a server (col. 9, lines 49-62), Burakoff says nothing about storing any indication *of a particular location within an item of compliance information* at which a security identifier, or any other particular data element, is stored.

Rather, Burakoff merely discloses maintaining an index that relates security identifiers and items of compliance information to which the associated security relates (col. 10, lines 19-21).

Johnson also fails to satisfy the limitations of each of claims 18, 35, 52, 53 and 54 discussed above. Johnson says nothing at all regarding identifying, within an item of compliance information delimited by a start point and an end point, a source location that excludes the start point and the end point and that contains a particular data element. Rather, Johnson discloses a “visual” internet search engine that retrieves HTML documents from the internet and scans them for representative non-textual content, such as images or audio files (Abstract). This representative non-textual content is stored in a database, and is presented to the user in response to queries that return the associated pages as results (see, e.g., FIG. 10). Because Johnson says nothing regarding identifying, within an item of compliance information delimited by a start point and an end point, a source location that excludes the start point and the end point and that contains a particular data element, Johnson necessarily does not disclose or suggest storing an indication of a source location so identified, as recited by each of claims 18, 35, 52, 53 and 54.

Accordingly, each of independent claims 18, 35, 52, 53 and 54 patentably distinguishes over any combination of the asserted references, such that the rejection of these claims, and of the claims that depend respectively therefrom, under 35 U.S.C. §103(a) as purportedly being obvious over Burakoff in view of Johnson should be withdrawn.

CONCLUSION

A Notice of Allowance is respectfully requested. The Examiner is requested to call the undersigned at the telephone number listed below if this communication does not place the case in condition for allowance.

If this response is not considered timely filed and if a request for an extension of time is otherwise absent, Applicant hereby requests any necessary extension of time. If there is a fee occasioned by this response, including an extension fee, the Director is hereby authorized to charge any deficiency or credit any overpayment in the fees filed, asserted to be filed or which should have been filed herewith to our Deposit Account No. 23/2825, under Docket No. N0389.70009US01.

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Respectfully submitted,

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